



## Appendix A: Roles and Responsibilities – Details

### Principal Investigator

#### 1. Proposal Preparation

- 1.1 Has an overall responsibility to assemble a submission ready proposal, which meets all sponsor guidelines and UVM requirements.
- 1.2 Coordinates and delegates components of the proposal preparation to a team including designated department or college support staff.
- 1.3 Responsible to coordinate, communicate and escalate proposal development questions, concerns, and issues to your assigned RA.

#### 2. Scope of Work

- 2.1 Responsible for the development of the proposal's statement of work.

#### 3. Prepare Budget

- 3.1 Coordinate and develop a budget and budget narrative following sponsor limitations and University policies and procedures.
- 3.2 Subject to sponsor limitations, ensure all appropriate Institutional approved indirect cost rates, fringe rates, and institutional base salaries are used when creating budgets.
- 3.3 Identify necessary key and non-key personnel, including post docs, graduate students, technicians, and consultants, to carry out the statement of work. Provide the effort that each UVM personnel will devote to the project.
- 3.4 Identify subrecipients work with UA for collection of all necessary documentation.
- 3.5 Responsible for following UVM Cost Sharing policy. Coordinate with appropriate offices to discuss and secure cost sharing approvals, for upload to UVMClick.

#### 4. Disclose Compliance

- 4.1 Responsible for disclosing compliance requirements required at the time of proposal routing. For example, working with human subjects, animals, involves a need for biosafety, properly disclose any financial conflicts of interest.

#### 5. Proposal Approvals

- 5.1 Initiates the electronic approval process by submitting a complete and ready to submit proposal into UVM's electronic research administration system, currently UVMClick, completing PI certification and submit with sufficient lead time to allow for review and approvals be obtained from the Chair, Dean, and SPA.

#### 6. Internal Deadlines

- 6.1 It is highly recommended that all proposals be received in SPA no later than 2-business days prior to the sponsor published deadline for review, approval, and submission to sponsor.
- 6.2 Proposals submitted to SPA with less than 2-business days prior to sponsor's deadline are considered "Late Proposals" and SPA will follow Late Proposal procedures.



## **7. Communication**

- 7.1 Be responsive to any sponsor requests for additional information (Just-In-Time, post-submission updates, revised budgets, revised scope of work, etc.). Coordinate appropriate response with UA utilizing UVMClick Modification request process.

## **Department Administration**

### **1. Proposal Preparation Review, Submission Process**

- 1.1 In coordination with the College, assign department staff to assist PIs with preparing a submission ready proposal, which meet all sponsor guidelines and UVM requirements. This includes completing all required proposal forms.
- 1.2 Coordinate with PI to communicate and escalate proposal development questions, concerns, and issues to assigned RA.

### **2. Prepare Budget**

- 2.1 Coordinate with the PI to develop a budget and budget narrative, following any sponsor-imposed limitations and subject to university policy and procedures. Complete sponsor budget forms and follow required sponsor format.
- 2.2 Ensure the budget reflects an accurate listing of all personnel and effort commitments required to accomplish the proposal work and includes appropriate salaries and fringes benefits for all personnel.
- 2.3 Use Institutional Base Salary, subject to sponsor limitations, for all named UVM and UVM/UVMMC joint appointed employees when budgeting for salaries.
- 2.4 Work with proposed subrecipients by collecting subrecipient's officially approved proposal and commitment forms. Enter budget for the subrecipients costs correctly in the UVMClick budget.
- 2.5 Confirm any cost sharing meets UVM's Cost Share Policy and approvals have been uploaded to UVMClick.

### **3. Deliver Submission Ready Proposal**

- 3.1 Review and ensure proposal meet sponsor guidelines for items such as page limits, cost limits, forms, and formatting.
- 3.2 Ensure collection and correct assembly of all required proposal documents.
- 3.3 Ensure administrative sections are complete and all required components are included in the proposal prepared for routing in UVM's eRA system.
- 3.4 In coordination with the PI, finalize the proposal in the UVMs eRA system and submit into the electronic workflow to receive Department and College reviews and approval.

### **4. Proposal Review and Approval**

- 4.1 Communicate expectations in meeting the department administration responsibilities for proposal review and approval.
- 4.2 Review and approve proposals submitted into electronic workflow using UVM's eRA system, currently UVMClick, for consistency with department policies and procedures, University requirements and sponsor guidelines.



4.3 Department reviews include, but are not limited to, an assessment and approval of the following:

- Accuracy of budget elements including: Institutional Base Salaries; costs are allowable, reasonable, and allocable to the project; and correct F&A rate type is applied.
- Any proposed cost sharing is accurate, documented and approved.
- Facilities are available.
- Qualifications and availability of personnel participating in the project.
- If applicable, review and approve PI eligibility, following PI Eligibility Policy.

## College Administration

### 1. Proposal Preparation Review, Submission Process

- 1.1 Provide direction, resources, and oversight to ensure that the college and department administrators provide PIs support towards preparing, reviewing, and approving proposals for submission.

### 2. Proposal Review and Approval

- 2.1 Review and approve proposals using UVM's eRA system for consistency with college policies and procedures as well as various University requirements.
- 2.2 College reviews include, but are not limited to, an assessment and approval of the following, as applicable to the funding opportunity:
  - Accuracy of budget elements.
  - Any proposed cost sharing is accurate, documented and approved.
  - Facilities are available.
  - Qualifications and availability of personnel participating in the project.
  - Review and approve PI eligibility, following PI Eligibility Policy.
  - Approve any deviations from the standard F&A distribution formula from UVM's IBB policy.

## Sponsored Project Administration

### 1. Proposal Preparation

- 1.1 Upon request, provide PI/UAs Institutional guidance and interpretation of sponsor and University guidelines as they relate to the proposal preparation and submissions.

### 2. Proposal Review for on-time submissions

- 2.1. Review proposal solicitations provided for contractual exceptions, representations, and certifications, and other common institutional requirements.
- 2.2. Prior to submitting a proposal to sponsor, the RA reviews the following:
  - Proposal contains complete and correct administrative data.
  - Proposal includes completed forms for all required components.
  - Proposal meets cost sharing requirements and includes approvals.



- Proposal includes correct F&A rates and includes IBB F&A Allocation – Calculation Tool.
- Budget follows University and sponsor’s regulations regarding allowable costs.
- Proposal includes proper disclosure of compliance factors (animal research, human subjects, FCOI).
- Proposal includes required representations, certifications, and other forms.
- Confirm all subrecipient information is included and accurate.
- Review non-negotiable terms and confirm necessary institutional approvals are uploaded to UVMClick prior to submission.
- Proposal approvals, sponsor indirect rate policy and sponsor guidelines are present.
- Exception letters generated to negotiate terms at the time of proposal.

### **3. Proposal Submission**

- 3.1 Perform duties as the University Authorized Official; approves and signs all proposal and proposal related documents, provides an institutional endorsement for all proposals to external sponsors as needed.
- 3.2 If the proposal is electronically submitted, facilitates the submission process using such electronic system as applicable.
- 3.3 Assist PI/UA with responses to Sponsor inquiries during the review process (JIT, revised budgets, the revised scope of work, etc.). Coordinates submission of these responses to Sponsor.

### **4. Institutional Policies and Training**

- 4.1 Develop institutional policies, procedures, and systems to ensure efficient and effective proposal preparation and submission practices.
- 4.2 Develop and maintain trainings in the area of proposal preparation and submission to assist in the development of department administration grants management.
- 4.3 Provide and maintain sponsored projects electronic research administration systems for managing proposal routing and collecting institutional proposal data. Provide policies, procedures, and training for use of these systems.
- 4.4 Register the University in the sponsor electronic research administration systems and provide guidance to campus on account requirements for those systems.

### **5. Late Proposals**

- 5.1 Proposals are considered late if they arrive in SPA with less than two business days before the sponsor’s deadline. SPA’s responsibility with regard to late proposals is to make every attempt to meet the submission deadline. This may mean SPA cannot provide the customary review of the proposal and may not be able to resolve technical issues that can prohibit submission of the proposal to the sponsor.
- 5.2 As time allows, proposals submitted without review may be reviewed post-submission. If considered non-compliant with university standards, SPA may take the following actions:
  - Administratively withdraw the proposal or decline acceptance of award.
  - Submit a revision if allowed.
  - Wait until the time of award to correct any issues.